CALIFORNIA ENERGY COMMISSION
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www.energy.ca.gov

GENERAL INSTRUCTIONS FOR SUBMITTING
APPLIANCE CERTIFICATION DATA
(Instructions 03/08)

CERTIFICATION REQUIREMENTS

Since the 1970s, the Energy Commission has had the responsibility to establish and enforce energy efficiency standards for buildings and appliances. The Commission's *Appliance Efficiency Regulations* first took effect in late 1977, and include the requirement that a regulated appliance may not be sold or offered for sale in California unless it is certified to be in compliance with the standards. The Commission has been collecting and publishing this appliance efficiency data continuously since 1978. This document explains the general requirements for complying with the data certification part of California's current Appliance Efficiency Regulations.

Section 1606(a) of the Appliance Efficiency Regulations requires manufacturers of appliances to be sold in California to certify their performance to the California Energy Commission (Energy Commission). The Energy Commission publishes its appliance regulations on its web site at:

http://www.energy.ca.gov/appliances/

Certifying an appliance involves testing an appliance's performance efficiency and submitting the data collected to the Energy Commission's Appliance Efficiency Program. A regulated appliance that is not certified can not be legally sold in the state of California. Certification packets for each type of regulated appliance can be found at:

http://www.energy.ca.gov/appliances/forms/

Manufacturers are also required to have any laboratory performing efficiency testing be certified with and approved by the Energy Commission. Laboratories must be approved individually for each appliance type they wish to test, and test laboratory approval must be renewed for each calendar year. Manufacturers must identify the laboratory used for any appliance certification request. Test laboratory applications, instructions, and lists of approved laboratories for all appliances can be found at:

http://www.energy.ca.gov/appliances/forms/

SUBMITTING CERTIFICATION DATA

Each certification packet includes four electronic files:

- this "General Submittal Instructions" document, in Microsoft Word format;
- the "Appliance Specific Instructions" document for the type of appliance you have chosen to certify, in Microsoft Word format;
- a preformatted data collection file for the type of appliance you have chosen to certify, in Microsoft Excel format; and
- a printable version of the data collection form, in Adobe PDF format.

Manufacturers can certify their appliances directly, or they may choose to have their appliances certified by an approved third-party certifier.

For Direct Certification: Certifying an appliance generally requires the submittal of two items: an Excel file containing the required appliance efficiency information, and a signed two page Declaration. The Excel file must be formatted in such a way that it can be entered into the Appliance Certification Database, as explained in the appliance-specific instructions for each appliance type. The Declaration must be filled out fully, including the fields for providing contact information for both the manufacturer and the test laboratory supplying the appliance efficiency data, and it must be signed with a current signature and date. Both of these items are discussed in greater detail under Submission Requirements (below).

For Third-Party Certification: If you are certifying through a third party, or are a third party submitting on behalf of an appliance manufacturer, additional forms must be filled out. These forms, along with a summary guide, can be found at:

http://www.energy.ca.gov/appliances/forms/

As an example, some trade associations collect and submit appliance data on behalf of their members in order to streamline the certification process. To do so, each manufacturer must fill out the appropriate form authorizing the trade association to submit data on their behalf. The trade association must fill out an application to be a third-party certifier (or be previously approved as a third-party certifier), and must also complete the general form for third-party certification. This is in addition to the Declaration required for each type of appliance for which certification is being sought. All of these forms may be submitted simultaneously with the appliance data submittal; Appliance Efficiency Program staff will evaluate the third party forms first, prior to processing the submitted data.

Other, more specialized third-party options, such as Trade Association Directories and Approved Industry Certification Programs, are discussed in the summary guide for third-party submittal found at:

http://www.energy.ca.gov/appliances/forms/

Submission Requirements: The information required to certify your appliance(s) must be submitted electronically, using a Microsoft Excel format file, to appliances@energy.state.ca.us. If submitting data electronically or in an Excel file presents a hardship, please contact Appliance Efficiency Program staff for instructions. Our contact information is at the end of this document.

Electronic submittals are best accomplished by using the preformatted Excel data collection files included in the certification packets. However, you may also choose to set up your own Excel data collection files. Instructions for setting up your own Excel files for the specific appliance(s) you wish to certify are found in the appliance-specific instructions. Each e-mail submission should have only one appliance type per Excel file, and only the first worksheet of the file (Sheet1) should be used.

In addition to the Excel file described above, you must include as part of your submittal the Declaration described in Section 1606(a)(4), in the format specified for the type of appliance you are certifying. A blank Declaration of the appropriate type is included with the appliance-specific instructions on the final pages. When an electronic submittal is sent, the signed Declaration must also be electronically submitted as described in Section 1606(g)(1)(B) of the regulations. When submitting the signed Declaration electronically, please do not submit a copy via regular mail.

Failure to include required items (Excel file, signed Declaration, etc.) will result in your submittal being returned as incomplete. If you are missing any part of the certification packet or need to download certification packets for other appliances, they are available from the Energy Commission website at:

http://www.energy.ca.gov/appliances/forms/

For Commercial Refrigerators & Freezers, Plumbing Fittings, and Large Storage Water Heaters (as defined by the U.S. Department of Energy) **ONLY**: copies of test reports are required under Section 1606(a)(3)(C) for the above appliances when submitted for certification. These reports must be from a laboratory shown on the list of approved labs found at:

http://www.energy.ca.gov/appliances/forms/

Discrepancies between data on the certification form and data shown on the test report will cause rejection of your submittal. If a specific test report is being submitted to cover more than one model (i.e., an identical model sold under a different brand name with a different model number), you must provide a cross-reference of which certified models match the specific model shown in a specific test report.

ELECTRONIC SUBMITTALS

In all cases (data submittals, test laboratory applications, etc.), the Appliance Efficiency Program requires that all forms and data be submitted electronically by e-mail, except where this would present a hardship. For documents that require signatures, signing the document, scanning the signed document, and attaching the signed/scanned document to the e-mail submittal is acceptable. The Energy Commission has up to 30 days to respond to any data submittal, application, or similar request. All such communication should be directed to:

appliances@energy.state.ca.us

If electronic communication represents a hardship, contact Appliance Efficiency Program staff for instructions **prior to** submitting data and/or forms. Full contact information for the Appliance Efficiency Program is included at the end of this document.

DATABASE OF CERTIFIED APPLIANCES

Appliance data collected by the Appliance Efficiency Program is archived and made available to the public in the form of Excel files exported from the Energy Commission's internal Appliances Database. These files are free to download and contain the complete submitted data for all currently certified regulated appliances. Files are organized by appliance type and can be found here:

http://www.energy.ca.gov/appliances/appliance/

After a data submittal is processed, it may take up to two weeks for the new records to be updated to the downloadable Excel export files.

Please note that the Energy Commission maintains a separate database for appliances that do not meet current efficiency standards but were certified as meeting earlier, less stringent efficiency standards. Appliances manufactured prior to the effective date of the current efficiency standards may still be sold or offered for sale if they were certified as meeting the standard in effect on the date the model was manufactured. If you would like information about these models, go to:

http://www.energy.ca.gov/appliances/appliance/historical_excel_files/

MAKING CHANGES OR DELETIONS

Requests to change or delete appliance records must be made through the same procedure as for a data submittal. A Declaration is required, and Third Party Certification forms may be necessary. Specific directions for changing or deleting appliance records are present in the appliance-specific instructions included in each certification packet.

QUESTIONS AND CONTACT INFORMATION

Questions, comments and requests may be referred to either of the following individuals:

Name	Phone Number	e-mail address
Carolyn McCormack	(916) 653-8232	
		appliances@energy.state.ca.us
Peter Strait	(916) 651-9375	

Electronic submittals that are e-mailed must be sent to the e-mail address shown above (appliances@energy.state.ca.us), and must contain all appropriate documentation, including the signed Declaration. When submitting your data and Declaration electronically, do not also send copies through regular mail.

If e-mail is not available, completed forms, CD-ROMs, and/or any other correspondence should be mailed to:

> Appliance Efficiency Program
> California Energy Commission
> 1516 Ninth Street, MS-25
> Sacramento, CA 95814